

STATE OF CONNECTICUT

OFFICE OF THE SECRETARY OF THE STATE

Form B-5 REV. 01/03



Received Date  
Do not mark in this Space  
For Official use only

**CERTIFICATION OF EXEMPTION FROM FORMING A POLITICAL COMMITTEE  
FOR A REFERENDUM QUESTION**

1. REFERENDUM DATE	2. TOWN(S), CITY OR BOROUGH
3. NAME OF GROUP	
4. AGENCY (Name, Complete Address, Zip)	
5. TELEPHONE	
6. PERSONS WHO COMPRISE GROUP	
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1. REFERENDUM DATE: Provide the referendum date for which the group is formed.
2. TOWN or TOWNS: Provide the name of the town(s), city or borough in which this referendum is being held.
3. NAME OF GROUP: Provide the full name of the group or complete section 6 below.
4. NAME OF AGENT: Provide the full name and complete address of the agent of the group: number, street, town, state and zip code.
5. AGENT'S PHONE: Provide the agent's phone number.
6. PERSONS WHO COMPRISE GROUP: List names of individuals and persons who make up group.

NOTE: CERTIFICATION MUST BE FILED PRIOR TO THE SOLICITATION, RECEIPT OR EXPENDITURE OF ANY FUNDS.

BRIEFLY DESCRIBE THE SUBJECT MATTER OF THE REFERENDUM QUESTION: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

GROUP'S POSITION ON THE REFERENDUM QUESTION:

☐

SUPPORT

☐

OPPOSE

I HEREBY CERTIFY THAT I AM THE AGENT OF THE GROUP WHICH APPEARS ABOVE AND THAT THE GROUP IS FORMED IN CONNECTION WITH A REFERENDUM QUESTION. THE GROUP DOES NOT INTEND TO RECEIVE OR EXPEND MORE THAN \$1,000 FOR THE ENTIRE CAMPAIGN. IF, AT ANY TIME, THE REASON FOR THE EXEMPTION NO LONGER APPLIES TO THE GROUP, I WILL COMPLY WITH THE PROVISIONS OF SECTION 9-333f(a) BY FILING A STATEMENT OF ORGANIZATION WITH THE SAME FILING REPOSITORY AS I HAVE FILED THIS CERTIFICATION.

\_\_\_\_\_  
Signature of Agent

\_\_\_\_\_  
Date

(See reverse side for additional information)

EVERY GROUP OF TWO OR MORE INDIVIDUALS FORMED SOLELY TO PROMOTE THE SUCCESS OR DEFEAT OF A REFERENDUM QUESTION MUST FILE EITHER FORM ED-47 (POLITICAL COMMITTEE STATEMENT OF ORGANIZATION) OR THIS CERTIFICATION CLAIMING EXEMPTION FROM THE REQUIREMENT.

This certification must be on file with the proper authority before any contribution is made or solicited, and before any expenditure is made by the group.

Eligibility to File Certification of Exemption: A group is eligible to file this certification (and need not file Form ED-47) if it:

- (1) does not receive or spend more than \$1,000 for the referendum, and;
- (2) designates an agent to file this certification on its behalf.

Effect of the Certification: The agent's filing of the group's certification eliminates the requirement to register as a political committee, establish a bank account, appoint a treasurer, and file any Statement of Receipts and Expenditures.

Definition of Terms:

Referendum: A "referendum" is a question or proposal which is submitted to:

- (1) a vote of the electors of a municipality at any regular or special state or municipal election;
- (2) a vote of the electors or voters, as the case may be, of a municipality at a meeting of such electors or voters, which meeting is not an election and is not a town meeting, or;
- (3) a vote of the electors or voters, as the case may be, at an adjourned town meeting held pursuant to Sec. 7-7, General Statutes (Sec. 9-1(n), General Statutes.)

Agent: One who is empowered to act for another or others.

Person: Means an individual, firm, partnership, organization, syndicate, company trust, corporation, and any other legal entity of any kind.

Responsibilities of Agent: The individual designated by the group as their agent must:

- (1) Complete and sign exemption certification form and file it with the clerk of the municipality prior to the receipt or expenditure of funds by the group.
- (2) On any advertising matter paid for or sponsored by the group, the agent must include the name of the group or the names of those individuals who comprise the group (exactly as it appears on the certification) and the name and address of the agent.
- (3) Keep records of expenditures made and contributions received by the group to substantiate the claim for exemption.
- (4) If at any time during the campaign the group receives or expends over \$1,000 (and is therefore no longer entitled to the exemption), the agent must register the committee within three business days by filing Form ED-47, and designate a treasurer and bank depository. The agent must provide the designated treasurer with the contribution and expenditure records to comply with reporting requirements.

File with the Clerk of the Municipality: The agent for the group formed solely to promote the success or defeat of a referendum question should file the certification for exemption form (Form B-5) with the clerk of the municipality in which the referendum is to be held.

If you have any questions concerning filing requirements or if you need additional forms, please call the Campaign Finance Section of the Office of the Secretary of the State at 509-6101. If you have questions pertaining to the interpretation of the campaign finance statutes, please call the State Elections Enforcement Commission at 566-7106.